INSTRUCTIONS

2006-2012
AGENCY CAPITAL PLANS

Capital Planning Advisory Board
of the
Kentucky General Assembly

As Approved December 9, 2004

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2006-2012 AGENCY CAPITAL PLANS

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INTRODUCTION

KRS 7A.120(3) directs that in each odd-numbered year each state agency is to submit information about its facilities and facilities-related needs to the Capital Planning Advisory Board (CPAB) "in the form that shall be prescribed by the board."

Content

The 2006-2012 plans will be comprised of three sections. Information in the Background section is intended to provide an understanding of the agency and a context in which to review its capital needs. Information in the Plan section will report capital-related needs and how the agency plans to address them. An Ancillary Records section will address items applicable to only selected agencies.

The following pages identify several forms to be included in each section of the plan. However, ***not every agency will be required to complete every form***. A checklist – using a question and answer format – will enable the agency to determine which forms it must complete (Appendix A).

It is highly unlikely that all projects proposed or needed by an agency could be undertaken in the first biennium of the planning period. Therefore, ***each project is to be listed in the biennium in which the agency believes it is actually needed or could reasonably be undertaken***. Factors to be taken into account include the ability to manage multiple projects in the same timeframe, the capacity to house individuals displaced by multiple concurrent projects, etc.

The Board expects to be informed of any and all actions (underway or proposed) that materially affect state agency physical plants—either the composition of the physical plant, its management, or its financing. In addition to the traditional state construction and leases, such actions might include construction by non-state entities on state-owned property, transfers of property to a non-state entity while still being used by the agency for a state purpose, and proposals to pursue projects using unique or innovative financing or construction approaches. If the agency is uncertain as to where to report such actions in the formats that are provided, CPAB staff should be contacted for further information.

Changes Since the Last Planning Instructions

The 2006-2012 agency capital planning instructions are essentially the same as those used for the 2004-2010 plans. The submission levels and entities have been revised to reflect state government reorganizations since the last planning process in 2003. Additionally, use of the Minor Projects Ancillary Record (Form SYP-A1), which required the reporting of individual minor maintenance projects, has been discontinued. Instead, agencies are to submit proposed miscellaneous maintenance pools (consisting of multiple projects costing less than $400,000 each) as construction projects on Form SYP-P2.

Submission Level

Capital plans are to be completed and submitted at the organizational levels identified in Appendix B.

Key Dates

Following are key dates for the 2006-2012 capital planning process:

April 15, 2005	Due date for submission of agency plans to CPAB.
July, 2005	CPAB meeting to review agency plans.
October 1, 2005	Deadline for submission of amendments to the agency plans.
November 1, 2005	Due date for CPAB transmittal of the Statewide Capital Improvements Plan to the heads of the three branches of government.

Electronic Capital Planning System

All parts of the agency plans are to be completed and transmitted to the Capital Planning Advisory Board using a web-based application developed by staff of the Legislative Research Commission (LRC) Office of Computing and Information Technology. To the extent possible, agencies will be able to review and update information from the 2003 submissions that has already been pre-loaded into the system.

As in the past, data from the first biennium of the 2006-2012 plans will be transferred to the BRASS system to facilitate submission of the agency capital budget requests for 2006-08.

The electronic capital planning system is available through the CPAB homepage at www.lrc.ky.gov/statcomm/CPAB/homepage.htm. Only those individuals who have been granted the necessary password and login authorization by CPAB staff may access the system.

Instructions for using the system are provided on the 2006-2012 Capital Planning System homepage.

BACKGROUND

The Background section of each agency's capital plan is to provide a context for review of the project proposals and other changes in the agency's physical plant that are identified in subsequent sections of the plan. Narratives addressing the agency's mission and programs as well as the handling of its facilities management functions are in this section. It also provides a listing of agency-administered and/or agency-occupied property. Additionally, the Background includes a status report on each recently completed or ongoing agency capital project.

AGENCY MISSION AND PROGRAMS

FORM SYP-B1 is to provide a summary overview of the agency's current mission and programs. The narrative is to address the following items:

- The statutory basis for the agency;
- The major programs/functions of the agency; and
- In the context of facilities and technology, how services are currently delivered by the agency.

The length of the narrative should take into account the relative size and complexity of the agency, but is not to exceed one page.

AGENCY FACILITIES MANAGEMENT

FORM SYP-B2 is to describe how the facilities management and maintenance functions are handled within the agency. The narrative is to address, at a minimum, the following items:

- The unit responsible for agency facilities - whether owned or leased,
- The unit's location within the organizational structure of the agency,
- The responsibilities handled by the unit,
- The number and types of personnel in the unit, and
- Any contracts or outsourcing to other vendors for maintenance of the agency's state-owned facilities.

The length of the narrative should take into account the relative size and complexity of the agency, but is not to exceed one page.

CAPITAL-RELATED REPORTS

FORM SYP-B3 is to address any capital-related reports of the agency that meet the following criteria:

- Have been completed since March 31, 2003 (the last plan submission),
- Are currently underway, and/or
- Are planned to be undertaken during the remainder of the 2004-06 biennium.

Among the reports/studies to be identified are campus/facility master plans and feasibility studies for specific projects. Include agency strategic plans or studies of programmatic issues only if they also specifically address capital issues. The following information is to be provided for each report:

<u>Title of the Report</u>

<u>Purpose of the Report</u> – Briefly describe the subject matter addressed and why the report was prepared.

<u>Who Prepared the Report</u> – Identify the in-house group and/or outside consultant(s) that prepared the report.

<u>Completion Date</u> – Identify the actual or anticipated completion date for the report.

<u>Approval of the Report</u> – If the report was reviewed and approved by the governing body of the agency/institution, identify that body and the date of such action.

<u>Status of Providing a Copy to CPAB</u> – The status is to be identified as one of the following: previously provided, to be provided by April 15, or study not yet completed. (For lengthy studies, the executive summary only should be forwarded. However, a copy of the complete study may subsequently be requested.)

<u>Proposed Report-Related Projects</u> – Identify by title and biennium any projects ***directly*** related to this report that are proposed in the 2006-2012 plan (Form SYP-P2).

AGENCY PHYSICAL PLANT

The agency physical plant data are intended to provide a comprehensive overview of all property administered and/or occupied by the reporting agency. Such property may be stated-owned or it may be "leased" from a private vendor or other entity. This section also requires the reporting of non-state-owned facilities on state-owned land and state-owned aircraft.

To the extent possible, the electronic forms for each agency will be pre-populated with data provided by the Finance and Administration Cabinet's Division of Real Properties. The reporting agency is to carefully review these data and, as necessary, change specific items for a given property, or add or delete entire properties. Any changes to the pre-loaded data should also be reported to the Division of Real Properties. The information provided in the capital plan is ***to be accurate as of March 31, 2005***.

<u>FORM SYP-B4a</u> is to address state-owned property that is administered by the agency.

<u>Installation ID and Name</u> – Report these items as listed in the Division of Real Properties Property Management System.

<u>Facility STARS Number and Name</u> – Report these items as listed in the Division of Real Properties Property Management System.

<u>Address (Street Address, City, County)</u> – Identify the location of the property.

Primary Use – Identify the primary use of the space as one of the following: office, storage, education, residential, recreation and sport, correction, defense, vacant, or other (must be explained).

Condition – Identify the overall condition of the property as one of the following: excellent, very good, good, fair, poor.

Total Square Footage – Identify the ***total*** square footage of the property for which the agency is responsible whether it is occupied by the reporting/administering agency or by one or more "other occupants" or is vacant (see below).

Agency Occupied SF – Identify the square footage occupied by the agency administering the facility.

Vacant SF – Identify the square footage that is not occupied by either the administering agency or the other occupants listed below.

> Note: The sum of the Agency Occupied SF, Vacant SF, and Square Footage Occupied (by other occupants listed below) should equal the Total Square Footage reported.

Other Description/Explanation – Use this field to provide any other relevant information about the space. ***If all functions of the reporting agency are not housed at this site, identify the specific functions or entities that are housed here***.

If there are occupants other than the reporting agency, the data listed below are to be provided ***for each***. Other occupants are to be reported ***even if no formal agreement is in place*** for their use of the space. (A maximum of 12 occupants may be listed.)

Name of Other Occupant – This will generally be the name of a governmental agency, business, or other organization. If the occupant is an individual leasing the space as a personal residence, it is sufficient to list "personal residence" as the occupant rather than identifying the individual by name.

Type of Entity - The nature of the entity occupying the space is to be identified as one of the following: Kentucky state government (agency or institution), federal government, local government, private non-profit organization, private for-profit organization, private individual, or other (must be explained).

Square Footage Occupied – Identify the amount of space being used by the other occupant.

Agreement Number – This number will typically be an identifier (IA number) reported in the Division of Real Properties Property Management System.

If this is a state agency occupying space in a building administered by the Finance and Administration Cabinet, report "FAC" here. Otherwise, if this is not FAC-administered space and no formal agreement is in place, leave this field blank.

Annual Rent – If the rent is addressed other than by a monetary payment, leave this field blank and describe that arrangement below under Other Explanation.

Original Start Date – Identify the start date of the agreement. If no formal agreement is in place, leave this field blank.

Most Recent Renewal Date – Identify the most recent renewal date of the agreement. If no formal agreement is in place, leave this field blank.

Expiration Date – Identify the expiration date of the agreement. If no formal agreement is in place, leave this field blank.

Other Description/Explanation – Use this field to explain any terms of the agreement that are not addressed elsewhere in this report (e.g., inclusion of parking spaces, non-monetary payments), and to provide any other relevant information about the occupant and its space.

FORM SYP-B4b addresses state-owned property administered by another agency that is occupied by the reporting agency. Such space is to be reported even if no formal agreement is in place for its use.

Property Name – Identify the property as listed in the Division of Real Properties Property Management System.

Address (Street Address, City, County) – Identify the location of the property.

Agency Administering the Facility – Identify the name of the state agency responsible for administering the facility.

Agreement Number – This number will typically be an identifier (IA number) reported in the Division of Real Properties Property Management System.

State agencies occupying space in buildings administered by the Finance and Administration Cabinet are to report "FAC" here. Otherwise, if this is not FAC-administered space and no formal agreement is in place, leave this field blank.

Square Footage Occupied – Identify the amount of space occupied by the reporting agency.

Primary Use – Identify the primary use of the space by the reporting agency as one of the following: office, storage, education, residential, recreation and sport, correction, defense, vacant, or other (must be explained).

Annual Rent – If the rent is addressed other than by a monetary payment, leave this field blank and describe that arrangement below under Other Explanation.

Original Start Date – Identify the original start date of the agreement. If no formal agreement is in place, leave this field blank.

Most Recent Renewal Date – Identify the most recent renewal date of the agreement. If no formal agreement is in place, leave this field blank.

Expiration Date – Identify the expiration date of the agreement. If no formal agreement is in place, leave this field blank.

Other Description/Explanation – Use this field to explain any terms of the agreement that are not addressed elsewhere in this report (e.g., inclusion of parking spaces, non-monetary payments), and to provide any other relevant information about the space. ***If all functions of the reporting agency are not housed at this site, identify the specific functions or entities that are housed here.***

FORM SYP-B4c addresses non-state-owned property occupied ("leased") by the reporting agency. This would usually be space obtained from a private vendor, but also includes space provided by another governmental entity or other arrangement. Such space is to be reported even if no formal agreement is in place for its use.

Lease ID – Typically, this will be the identifier (PR Number) listed in the Division of Real Properties Property Management System. If no formal agreement is in place, leave this field blank.

Property Name – Typically, this will be the property name listed in the Division of Real Properties Property Management System.

Address (Street Address, City, County) – Identify the location of the property.

Ownership – Identify the ownership of the space as one of the following: private, federal government, local government, or other (must be explained).

Primary Use – Identify the primary use of the space as one of the following: office, storage, education, residential, recreation and sport, correction, defense, vacant, or other (must be explained).

Square Footage – Identify the amount of space being leased by the reporting agency.

Annual Rent – If the rent is addressed other than by a monetary payment, leave this field blank and describe that arrangement below under Other Explanation.

Original Start Date – Identify the original start date of the lease. If there is no formal lease between the reporting agency and the owner of the property, leave this field blank.

Most Recent Renewal Date – Identify the most recent renewal date of the lease. If there is no formal agreement between the reporting agency and the owner of the property, leave this field blank.

Expiration Date – Identify the expiration date of the lease. If there is no formal agreement between the reporting agency and the owner of the property, leave this field blank.

Other Description/Explanation – Use this field to explain any terms of the agreement that are not addressed elsewhere in this report (e.g., non-monetary payments, inclusion of parking spaces), and to provide any other relevant information about the space. ***If all functions of the reporting agency are not housed at this site, identify the specific functions or entities that are housed here***.

If there are ***occupants of this "leased" space other than the reporting agency***, the following data are to be reported for each occupant that is "subleasing" space from the reporting agency. Such occupants are to be reported even if no formal agreement is in place for their use of the space. (A maximum of 12 occupants may be listed.)

<u>Name of Other Occupant</u> – This will generally be the name of a governmental agency, business, or other organization. If the occupant is an individual leasing the space as a personal residence, it is sufficient to list "personal residence" as the occupant rather than identifying the individual by name.

<u>Type of Entity</u> – Identify the nature of the entity occupying the space as one of the following: Kentucky state government (agency or institution), federal government, local government, private non-profit organization, private for-profit organization, private individual, or other (must be explained).

<u>Square Footage Occupied</u> – Identify the amount of space being used by the other occupant.

<u>Agreement Number</u> – This number will typically be an identifier reported in the Division of Real Properties Property Management System. If no formal agreement is in place, leave this field blank.

<u>Annual Rent</u> – If the rent is addressed other than by a monetary payment, leave this field blank and describe that arrangement below under Other Explanation.

<u>Original Start Date</u> – Identify the original start date of the agreement. If there is no formal agreement between the reporting agency and the other occupant, leave this field blank.

<u>Most Recent Renewal Date</u> – Identify the most recent renewal date of the agreement. If there is no formal agreement between the reporting agency and the other occupant, leave this field blank.

<u>Expiration Date</u> – Identify the expiration date of the agreement. If there is no formal agreement between the reporting agency and the other occupant, leave this field blank.

<u>Other Description/Explanation</u> – Use this field to explain any terms of the agreement that are not addressed elsewhere in this report (e.g., inclusion of parking spaces, non-monetary payments), and to provide any other relevant information about the space.

<u>FORM SYP-B4d</u> is a report of non-state-owned space "leased" by another state agency, but occupied ("subleased") by the reporting agency.

<u>Property Name</u> – Typically, this will be the property name listed in the Division of Real Properties Property Management System.

<u>Address (Street Address, City, County)</u> **-** Identify the location of the property.

<u>Leasing Agency</u> – Identify the state agency that is actually leasing the space from which the reporting agency is "subleasing" a portion of that space.

<u>Lease ID</u> – Typically, this will be the identifier (PR Number) relating to the lease held by the leasing agency as listed in the Division of Real Properties Property Management System.

Agreement Number for the “Sublease" – This number will typically be an identifier reported in the Division of Real Properties Property Management System. If no formal agreement is in place, leave this field blank.

Square Footage “Subleased” - Identify the amount of space being used by the reporting agency.

Annual Rent – Identify the annual rent paid by the reporting agency. If the rent is addressed other than by a monetary payment, leave this field blank and describe that arrangement below under Other Explanation.

Original Start Date – Identify the original start date for the “sublease” agreement. If there is no formal agreement between the reporting agency and the agency subleasing the property, leave this field blank.

Most Recent Renewal Date – Identify the most recent renewal date for the “sublease” agreement. If there is no formal agreement between the reporting agency and the agency subleasing the property, leave this field blank.

Expiration Date – Identify the expiration date for the “sublease” agreement. If there is no formal agreement between the reporting agency and the agency subleasing the property, leave this field blank.

Other Description/Explanation – Use this field to explain any terms of the agreement that are not addressed elsewhere in this report (e.g., inclusion of parking spaces, non-monetary payments), and to provide any other relevant information about the space. ***If all functions of the submitting unit are not housed at this site, identify the specific functions or entities that are housed here.***

FORM SYP-B4e is a report of non-state-owned facilities that are located on state-owned land administered by the reporting agency. Such facilities are to be reported even if there is no formal agreement between the owner of the facility and the state or reporting agency. The following data are to be provided for each facility.

County, Installation Number, and Installation Name – Identify the state-owned property (including the county) on which the facility is located.

Name of Facility – Identify the name by which the facility is commonly known.

Type of Facility – Identify the type of facility as one of the following: residential, food service, office, education, recreation, storage, or other (must be explained).

Description of Facility – Describe the physical characteristics of the facility e.g., square footage, primary construction material, number of stories.

Name and Address of Facility Owner – This will typically be the entity that constructed the facility and that is currently responsible for it. Such entity may or may not be using/occupying the facility.

Agreement Number – This will typically be the agreement relating to the land lease for the property on which the facility is located.

Terms of the Agreement for the Use of the State-Owned Land – This description is to include, but not be limited to, any monetary arrangements, the duration of the agreement, provisions for extensions/renewal, and provisions relative to payment of maintenance and operating costs for the facility.

Provisions under which the Facility will / would become Property of the State – If there are any provisions under which the facility would become property of the state (either at the expiration of the land lease or under other conditions), those terms are to be described thoroughly and completely.

Other Description/Explanation – This narrative is to provide any relevant information that is not addressed above. If the facility is occupied by an entity or entities other than, or in addition to, the owner, those other occupants and the amount of space occupied by each are to be identified here.

FORM SYP-B4f is to identify any state-owned aircraft for which the reporting agency is responsible. The following data are to be provided for each aircraft.

County – Identify where the aircraft is based.

Make and Model – Identify the make and model of the aircraft.

Size – Identify the number of passengers or other relevant measure to describe the size of the aircraft.

Primary Use – Describe the primary purposes for which the aircraft is used.

Year Manufactured

Year Acquired by the State

Other Description – Provide any additional information that will assist in identifying and understanding the aircraft being reported.

STATUS OF RECENTLY COMPLETED / ONGOING PROJECTS

Form SYP-B5 is to address the status of authorized capital projects that have recently been completed or remain underway by the agency. Specifically, Form SYP-B5 is to be provided for each state capital project (construction, equipment, information technology, grant/loan program) that had not been completed as of March 31, 2003 or whose authorization continues into the 2004-06 biennium. This includes:

- Projects authorized by a Regular or Special Session of the General Assembly that were completed between March 31, 2003 and March 31, 2005, or that remain authorized as of March 31, 2005; and
- Unbudgeted capital projects reported to the Capital Projects and Bond Oversight Committee, including projects completed between March 31, 2003 and March 31, 2005 and projects reported after March 31, 2003 that remain to be completed.

The SYP-B5 forms will be pre-populated for each agency with information that is available to CPAB staff. However, agencies are to carefully review and update the pre-populated data and provide any additional information as appropriate. The following are to be reported for each project:

Project Title – The project title is to be the same as the project authorization (as reflected in *The Budget of Commonwealth*) or as reported to the Capital Projects and Bond Oversight Committee.

Installation Name and Number and Facility Name and Number – For construction projects only, identify the installation where the project is located, as well as the facility name and number. (These items are to be consistent with the information on Form SYP-B4a.)

Item Number – This optional field may be used by the agency at its discretion.

Location – Identify the location of the project as one of the 120 Kentucky counties, multi-county, undetermined, or out-of-state.

Project Type – Identify the project type as construction, equipment, information technology, or grant/loan program.

Authorization and Description – List each time the project was authorized whether by a General Assembly session or through an interim reporting/approval process. A description of the project as authorized at that point is to accompany each listing. (In most instances, the description will be the narrative provided in *The Budget of the Commonwealth*.)

Authorization 1 and the accompanying description is to reflect the initial authorization for the project. Subsequent authorizations and descriptions are to follow in chronological order with the most recent action being listed last. (Up to six authorizations may be listed.)

If the ***project funding was increased or otherwise changed*** and/or the ***project title was modified*** through a reauthorization or other action subsequent to the initial authorization, such changes are to be noted in the accompanying description.

Project Budget – The project authorization is to be identified by amounts according to the following fund sources: general fund; restricted funds; federal funds; bond funds; road fund; agency bonds; capital construction surplus; investment income; capital construction and equipment purchase contingency fund; emergency repair, maintenance and replacement fund; statewide deferred maintenance fund; and other (must be specified).

The ***initial authorization*** is to reflect funding sources and amounts approved when the project was initially authorized.

The ***current authorization*** is to reflect funding for the project as of March 31, 2005, taking into account all changes since the initial authorization. This includes all changes described in the authorizations and accompanying narratives reported above. It also includes changes where a project authorized from restricted, federal, or other funds is undertaken at an amount different than the authorized funding level. (If such changes were not addressed through a budget or interim authorization process, they are to be described in the Current Description narrative.)

For court facilities projects, identify also the ***annual use allowance*** based on the initial and current authorization.

Current Status (as of March 31, 2005) – Report the status for the project ***as currently authorized, not including any subsequent phases that may be proposed***. For example, if the authorization was for design only, report the status and completion date only for the design work; or if the authorization was for Phase I only, report the status and completion date for only Phase I.

This field is ***not to be completed for grant/loan programs***.

Status categories for construction projects

- Planning – in-house activity prior to consultant (A/E) selection
- Consultant Selection - from issuance of the A/E solicitation until A/E contract award
- Phase A – schematic design
- Phase B - design development
- Phase C - construction document development
- Bidding – from issuance of construction bid solicitation until bid closing date
- Awarding Contract - from bid closing date until construction contract award finalized
- In Construction – from award of construction contract until substantial completion
- Complete – from date of substantial completion (agency has taken possession of or occupies the facility or improvement)
- NA - Project Pool
- Other-Project Account Not Yet Established - may only be used for projects authorized in the first year of the current biennium from state funds (cash or bonds)
- Other-Pending Authorization - may only be used when the project authorization is in the second year of the current biennium
- Other-Pending Fund Availability - may only be used for projects involving restricted, federal, or other funds
- Other-Cancelled - agency has decided not to undertake the project based on the current authorization; this does not preclude the project from being proposed again in the 2006-2012 planning period
- Other-None of the Above (must be thoroughly and completely explained)

For Equipment or Information Technology (IT) Projects

- Planning/Specification Development
- Vendor Selection - from initiation of RFP or other process through contract award
- System Development Underway
- Installation/Implementation/Testing underway
- Complete - item/system has been installed and tested and is being fully utilized
- NA - Project Pool
- Other-Project Account Not Yet Established - may only be used for projects authorized in the first year of the current biennium from state funds (cash or bonds)
- Other-Pending Authorization - may only be used when the project authorization is in the second year of the current biennium
- Other-Pending Fund Availability - may only be used for projects involving restricted, federal, or other funds
- Other-Cancelled - agency has decided not to undertake the project based on the current authorization; this does not preclude the project from being proposed again in the 2006-2012 planning period
- Other-None of the Above (must be thoroughly and completely explained)

Completion Date (as of March 31, 2005) – This field is not to be completed for grant/loan programs, or if the Current Status is "Planning," "Consultant Selection," "NA-Project Pool," or

"Other." The completion date – month and year – is to reflect the date at which substantial completion already occurred or is anticipated to occur (for construction projects), or at which all installation and testing are complete and the item/system is being used by the agency (for equipment or IT projects).

Current Description (as of March 31, 2005) – Do not complete this field for projects reported with a status of "Other." This narrative is not to be a repeat of the description from *The Budget of the Commonwealth*.

For ***construction project pools*** including land acquisitions (Status = NA-Project Pool), a format is provided for an itemized list of projects to include individual project cost estimates and the status of each (completed, underway, proposed). Up to 30 projects may be itemized. If the agency expects to finance more than 30 projects from a given pool, the major projects should be itemized with those remaining aggregated into a single item (e.g., 5 additional projects); this is to be done ***only*** if there are more than 30 projects in the biennium.

For ***construction other than project pools***, describe the project as it was completed, as it is currently being designed, etc. Specific items to be addressed are to include, but not be limited to, the following:

- For agency or postsecondary construction projects, include square footage or other relevant measures, types of space, etc. If the project involves site selection and/or acquisition, identify the location, the amount (acreage) and cost of the land, and any site development underway or needed.
- For court facility projects, in addition to the items required above, this narrative is also to address any actions taken by the Court Facilities Standards Committee (preliminary approval, final approval), the status of the establishment of a Project Development Board, and the status of the local government's issuance of bonds for the project.

For ***information technology systems***, describe the project as it was completed, as it is currently being designed, etc. In addition to the hardware being acquired with the funds authorized in the capital budget, the narrative should address the software, professional services, and digital data products also being acquired to make the system operational.

For ***grant/loan programs***, identify the actual carry forward from previous authorizations into the current biennium, total expenditures to date from the authorized/reauthorized amounts, and total obligations to date (over and above the actual expenditures) from the authorized/reauthorized amounts. Also address the status of the issuance of any bonds authorized for the program for the current biennium.

For other than pool projects or grant/loan programs, this narrative is also to ***indicate if the agency anticipates any further changes in the budget*** or other aspects of the project and if so, to explain those changes, the timetable for them, and whether interim approval or regular/special session legislative action is anticipated.

If a project authorized from restricted, agency or other funds has been ***undertaken at less than the authorized funding level***, the actual scope as listed in the Current Budget section is to be explained in this field.

Additional Funding – If additional funding is being proposed for the project on Form SYP-P2, identify the following: 1) title of the proposed project, 2) its priority ranking, 3) the aspects of the project in need of additional funds, and 4) the basis on which it was determined that additional funds would be needed.

This item is applicable only to ***discrete projects*** (construction, equipment, or information technology) whose Current Status is ***not*** “NA” or “Other.” It is not applicable to the following: 1) a project whose current authorization is for design or design/site development only; 2) a project that was initially authorized to be completed in phases and for which Phase II or a subsequent phase is being proposed; or 3) authorizations that recur each biennium, e.g., statutory capital construction pools, grant/loan programs, or selected other programs.

Project Resubmission – If a project is not expected to be undertaken before its authorization expires at the end of the current biennium and that project is being proposed again in this plan on Form SYP-P2, identify the project title and biennium, and, if applicable, its priority ranking.

PLAN

The Plan section of each agency's capital plan is to report capital-related needs and how the agency proposes to address them. Such needs may be addressed through construction projects, equipment or information technology acquisitions, or state-administered grant/loan programs that are financed through the capital budget. The Plan section is also to report agency needs for additional space that would be addressed through means other than construction, as well as proposed reductions in space administered or occupied by the agency.

OVERVIEW

FORM SYP-P1 is to provide an overview of the Plan section. This narrative is to address the items listed below. It is not to be a review or itemization of all of the projects proposed.

- An overall view of the major capital-related needs and issues facing the agency and how the agency proposes to address them, focusing particularly on the upcoming three biennia.
- The process used and the factors taken into consideration in determining the agency's priorities for 2006-08 as reflected in the prioritized list of projects.
- Any major changes in needs and priorities since the last plan submission (April 2003) and the reason for those changes.
- Any actions implemented since the last plan submission or being contemplated that affect how the agency's capital needs are now being approached or will be approached in the future.

The length of the narrative should take into account the relative size and complexity of the overall Plan section, but is not to exceed two pages.

FORMS SYP-P1a, P1b, and P1c provide summary information about the capital projects proposed in the agency's plan. These reports, which are automatically generated from data provided by the agency on Form SYP-P2 (see below), are as follows:

- The Financial Summary for Proposed Projects (Form SYP-P1a) totals, by fund source, the estimated costs of all projects proposed in each biennium.
- The (Listing of) Proposed Projects Involving the General Fund or Road Fund (Form SYP-P1b) lists these projects by priority ranking as assigned for 2006-08, and in alphabetical order for 2008-10 and for 2010-12.
- The (Listing of) Proposed Projects Not Involving the General Fund or Road Fund (Form SYP-P1c) lists all such projects in alphabetical order for each biennium (2006-08, 2008-10, and 2010-12).

PROPOSED PROJECTS

FORM SYP-P2 is to be completed for each capital project proposed to be undertaken during the planning period (2006-08, 2008-10, 2010-12) that meets any of the following criteria:

- Capital construction with an estimated cost of $400,000 or more.
- Project pools consisting of multiple construction projects where the cost of each project is less than $400,000.

- Equipment item with an estimated cost of $100,000 or more (postsecondary education scientific or research equipment is to be submitted for 2006-08 only).
- Information technology system with an estimated cost of $400,000 or more*.
- State-administered grant/loan program included in the capital budget that provides financial assistance to non-state agencies or entities.
- Court facility where the annual use allowance for new or renovated space is $200,000 or more.

* An ***information technology system*** is defined to be related computer or telecommunications components that provide a functional system for a specific business purpose. All of the following are to be considered in determining whether the estimated cost meets the $400,000 threshold requiring submission in the capital plan – hardware, software, professional services, and digital data products.

If funding will be sought over a period of ***multiple biennia*** (e.g., design in 2006-08 and construction in 2008-10), submit a separate Form SYP-P2 for each biennium. Similarly, separate forms must be submitted if funding for a grant/loan or other program is proposed in more than one biennium of the planning period.

Projects proposed in the 2004-2010 plans remain in the planning system. Agencies are to carefully review and update, as necessary, that information.

The general information requirements for each project include a description and explanation of the need for the project, the estimated project budget, the estimated impact of the completed project on the agency's operating budget, and a project history (if applicable). The specific information requirements are dependent upon the type of project – construction, equipment, information technology, or grant/loan program. The general and specific information requirements are described below.

General (information requirements for all types of projects)

<u>Project Title</u> – For ***construction*** projects, the project title must begin with an active verb describing the nature of the project (e.g., construct, renovate, design) and include, where applicable, the building name and/or campus name. (Use of a verb in not required in titles of equipment, information technology or grant/loan programs.)

<u>Appropriation Unit</u> – Identify the appropriation unit under which the project would be reflected in the state budget.

<u>Biennium</u> – Identify the biennium in which the project is proposed to be undertaken.

<u>Cabinet Priority</u> and <u>Agency Priority</u> – Priority numbers are to be assigned to all projects proposed for ***2006-08 only that involve the general fund*** (cash or bonds) or road funds. Priority numbers are not to be assigned for 2006-08 projects that do not involve the general fund or road fund or to any projects that are planned for 2008-10 or 2010-12.

<u>Category</u> – Each project must be identified as one of the following: construction-protect investment in plant, construction-provision of services, equipment, information technology, or grant/loan program.

Location – Identify the county and Area Development District (ADD) in which the project is to be located. Location options also include multi-county, out-of-state, and undetermined.

Item Number – This optional field may be used by the agency at its discretion.

Additional Funding – If this is a current project for which additional funding is being proposed in order to complete the project as authorized, provide the following: 1) title and description of the project as currently authorized, 2) an explanation of the current status of the project, and 3) the basis on which it was determined that additional funding will be needed.

This item is applicable only to ***discrete projects*** (construction, equipment, or information technology) whose Current Status on Form SYP-B5 is ***not*** "NA" or "Other." It is not applicable to the following: 1) a project whose current authorization is for design or design/site development only; 2) a project that was initially authorized to be completed in phases and for which Phase II or a subsequent phase is being proposed; or 3) authorizations that recur each biennium, e.g., statutory capital construction pools, grant/loan programs, or selected other programs.

Brief Description / Justification – Using layman's language, describe in two or three sentences ***what the project is*** and ***why it is needed***. If applicable, the following are to be specifically noted:

- ***Relevant overall project measurements***, e.g., square footage (construction), linear footage (utility projects), acres (land acquisition), capacity (heating/cooling equipment).
- ***Formal citations by*** a regulatory or licensing agency that are being addressed.

Construction

Note: The Ancillary Record for Minor Projects (Form SYP-A1 in the 2004-2010 plans) has been discontinued. Agencies are to submit Miscellaneous Maintenance Pools as construction projects on Form SYP-P2.

The following specific information is to be provided for construction projects.

Project Budget – Identify the estimated cost of the project by fund source and by cost element. The ***fund sources*** are general fund (cash or bonds), restricted funds, federal funds, road fund, agency bonds, other (private funds-cash), other (long-term financing), or other (local bonds, court projects only). For court projects, the annual use allowance is also to be reported. The ***cost elements*** are land acquisition, site survey/preparation, project design, construction cost, moveable equipment and furniture, project contingency, and other (must be specified).

If amounts are reported in the "other (long-term financing)" fund source category, describe that financing proposal. This category is not to reflect the proposed use of state bonds (general fund debt service) or agency bonds, which are to be reported separately above. It does include the issuance of other financial instruments that require payment of principal and interest over time, including, but not limited to, notes, bonds, securities, and certificates of participation, regardless of the identity of the issuer.

Projects proposed to be undertaken using an energy savings performance contract (ESPC) are to use the "other (long term financing)" fund source category.

An accompanying narrative is to ***describe how the project budget was determined*** (e.g., in-house estimates, outside consultant, feasibility study).

Impact on Agency Operating Budget – If the project will have an impact on the agency's operating budget after it is completed and operational, report that impact. More detailed information will be expected for those projects proposed for 2006-08, than those proposed for 2008-10 or 2010-12.

The impact figures are to ***reflect both programmatic costs and facility operating and maintenance costs***. The impact on the operating budget may be 1) increased costs, 2) savings, or 3) a combination of increased costs and savings. It may or may not be quantifiable.

If the impact can be quantified, report the amounts for the first full year of operations by fund source - general fund, restricted funds, federal funds, road fund, other (must be specified). If the net impact is savings, enter those figures as negative numbers (-). Otherwise, the figures will be assumed to represent net increased costs to the agency.

Figures are to be explained in the accompanying narrative by addressing, at a minimum, the following:

- The items involved (e.g., personnel, operating) and related amounts.
- A separate identification of the costs and savings.
- A separate identification of one-time, non-recurring items and amounts.
- The lease number and annual cost savings if the project will result in the reduction or cancellation of space leased by the state from a private vendor.

If the impact ***cannot be quantified***, describe the nature of the impact (e.g., operating efficiencies) in a detailed narrative.

If the project will ***generate revenues for the agency*** (restricted funds), describe that capability in the narrative and include an estimate of the revenues that would be generated on an annual basis. ***Report these amounts in the narrative only***, not in the chart by fund source.

General economic development impacts are not to be reported here, rather they are to be described in the Additional Description/Justification narrative below.

Installation ID and Name and Facility Name and STARS Number – Identify the Installation ID and Name and the Facility STARS Number and Name (for existing facilities) as reported on Form SYP-B4a.

Method of Procurement – Identify the method of procurement as one of the following: purchase, lease, lease-purchase, or other (must be specified).

Fuel Type – Identify the fuel type to be used by the facility as one of the following: coal, electric, natural gas, or other (must be specified).

Type of Space – ***Postsecondary institutions only*** must report whether educational and general, housing and dining, or hospital space is addressed by the project.

Completion Date – Identify the anticipated date of ***substantial completion*** (that is, when agency anticipates taking possession of or occupying the facility or improvement).

Existing Facility – If the project will address (renovate, expand, replace, etc.) an existing facility, ***describe the facility as it currently exist - not the project that is being proposed to address it.*** The following are to be provided:

- Name,
- Current use (e.g., office, storage, residential, educational) and occupants (e.g., program),
- Square footage
- Age
- Condition
- Historical designations, and
- Capital projects recently completed.

Relocation of Existing Program/Activity – If an existing program or activity is to be ***relocated to the space*** being addressed by this project, provide the following information:

- What is that program/activity and where is it presently housed.
- How is the space currently occupied by the program/activity expected to be used after the program is relocated.
- Will the proposed new use require renovation of the vacated space. If so, indicate whether the funding is included in this project (identify the funding amount and SF to be addressed), in a separate project in this plan (identify the project title and biennium), or in another manner (describe that approach).

Phased Projects – If the project is proposed to be undertaken in phases over multiple biennia, or has already been authorized as a phased project, the project titles and biennia of additional phases that are proposed in this plan and/or that have already been authorized are to be identified. If project phases beyond 2010-12 are proposed, that is also to be noted and explained.

Elimination of the Need for Other Projects Submitted in this Plan – If completion of ***this project will eliminate the need for one or more other projects*** listed in the 2006-2012 plan, identify each such project by title and biennium as listed on Form SYP-P2 and explain why that project would no longer be needed.

Elimination of the Need for this Project – If completion of ***another project in the 2006-2012 plan will eliminate the need for this project***, identify that other project by title and biennium, and explain why its completion would eliminate this need.

Additional Description/Justification – Use this space to elaborate on the Brief Description/Justification provided above. More detailed information will be expected for those projects being proposed for 2006-08 than for those being proposed for 2008-10 or 2010-12. The following items are to be addressed, as appropriate.

- If the project addresses a ***citation, order, or agreement involving the state or federal courts or a regulatory agency***, identify the following: 1) the citation, order or agreement, 2) the issuing court or regulatory agency, 3) the date of the action, 4) the deficiency involved, 5) the correction/remedy required, and 5) the consequences of not correcting the deficiency.

- Report any more ***detailed project measurements*** that are available and were not included in the Brief Description/Justification (e.g., SF by type of space).

- Discuss the ***proposed site*** for the project, any required land acquisition(s), and any necessary site development that will be involved.

- Address any ***prior planning and/or design work*** that has been done on the project. Include references to any master plans, feasibility studies, or other capital-related reports that specifically identified the need for this project and describe any formal planning or design work that has already been completed.

- If this project ***addresses needs arising due to the completion of another authorized project***, identify that prior project and the relationship of this project to it. (Such projects may include renovation of vacated space for continued use, expansion or enhancement of utilities to serve a newly constructed facility, or construction of a facility for which the design phase has been authorized.)

- If, when completed, the project will have an ***economic development impact*** resulting in the generation of tax receipts to the Commonwealth and/or local community, describe that anticipated impact relative to why it is expected to occur, any revenue estimates that may be available, etc.

<u>Previous Capital Plan Submissions</u> – If this project has been submitted by the agency in one or more previous six-year capital plans, identify the project title and planning period of each submission. (List the plans chronologically beginning with the most recent.) If the current project differs from the most recent submission, describe the differences and the rationale for those changes.

<u>Previous Budget Request Submissions</u> – If this project has been submitted by the agency in one or more previous biennial capital budget requests, identify the project title and biennium of each submission. (List the requests chronologically beginning with the most recent.) If the current project differs from the most recent previous budget request submission, describe the differences and the rationale for those changes.

<u>Previous Budget Authorizations</u> – If this project has been authorized for the agency to undertake in one or more previous biennial state budgets, identify the project title and biennium of each authorization. (List the authorizations chronologically beginning with the most recent.) If the project was not undertaken in the most recent authorization, explain why. If the current project differs from the most recent authorization, describe the differences and the rationale for those changes.

Supplemental Instructions for Court Projects
- In the Project Budget, ***Fund Source*** section, use the "Other-Local Bonds" fund source to report the debt to be reimbursed by annual use allowance payments paid through Administrative Office of the Courts.
- In the Project Budget, include the cost of ***furnishings*** even though they are eliminated from the project scope when calculating the required annual use allowance.
- Report the ***annual use allowance*** in the space provided following the Project Budget.
- In the Detailed Description/Justification narrative, identify the following:
  - ***percentage of the facility intended for court use***,
  - ***type of court facility*** to be constructed (rural, urban/metropolitan, or satellite),
  - the ***needs projection*** that the facility is expected to address (e.g., 10 years, 20 years)., and

- status of executing the ***memorandum of agreement*** with the county/local government.

Equipment

The following specific information is to be provided for equipment items.

Project Budget – The project budget is to reflect – by fund source, only - the estimated cost of the equipment. The ***fund sources*** are general fund (cash or bonds), restricted funds, federal funds, road fund, agency bonds, other (private funds-cash), or other (long-term financing).

An accompanying narrative is to ***describe how the project budget was determined*** (e.g., in-house estimates, outside consultant, feasibility study).

If amounts are reported in the "other (long-term financing)" fund source category, describe that financing proposal. This category is not to reflect the proposed use of state bonds (general fund debt service) or agency bonds, which are to be reported separately above. It does include the issuance of other financial instruments that require payment of principal and interest over time, including, but not limited to, notes, bonds, securities, and certificates of participation, regardless of the identity of the issuer.

Impact on Agency Operating Budget – If the project will have an impact on the agency's operating budget after it is completed and operational, report that impact. More detailed information will be expected for those projects proposed for 2006-08, than those proposed for 2008-10 or 2010-12.

The impact figures are to ***reflect both programmatic costs and equipment operating and maintenance costs***. The impact on the operating budget may be 1) increased costs, 2) savings, or 3) a combination of increased costs and savings. It may or may not be quantifiable.

If the impact can be quantified, report the amounts for the first full year of operations by fund source - general fund, restricted funds, federal funds, road fund, other (must be specified). If the net impact is savings, enter those figures as negative numbers (-). Otherwise, the figures will be assumed to represent net increased costs to the agency.

Figures are to be explained in the accompanying narrative by addressing, at a minimum, the following:

- The items involved (e.g., personnel, operating) and related amounts;
- A separate identification of the costs and savings;
- A separate identification of one-time, non-recurring items and amounts; and
- The lease number and annual cost savings if the project will result in the reduction or cancellation of space leased by the state from a private vendor.

If the impact ***cannot be quantified***, describe the nature of the impact (e.g., operating efficiencies) in a detailed narrative.

If the project will ***generate revenues for the agency*** (restricted funds), describe that capability in the narrative and include an estimate of the revenues that would be generated on an annual basis. Report these amounts in the narrative only, not in the chart by fund source.

Method of Procurement – Identify the method of procurement as one of the following: purchase, lease, lease-purchase, or other (must be specified).

Primary Program Purpose – ***Postsecondary institutions only*** must report the primary program purpose to be served the by the equipment as one of the following: instruction, public service (hospital), public service (other), research, support (academic/institutional), combination (specify), or other (specify).

Completion Date – Identify the anticipated date of full installation and utilization of the item.

Existing Equipment – If the equipment will replace/enhance/expand existing equipment, the current equipment and how it will be affected are to be described. If this is a replacement, an explanation of what will be done with the existing equipment is also to be provided.

Additional Description/Justification – Use this space to elaborate on the Brief Description/Justification provided above, as appropriate. More detailed information will be expected for those projects being proposed for 2006-08 than for those being proposed for 2008-10 or 2010-12.

Previous Capital Plan Submissions – If this project has been submitted by the agency in one or more previous six-year capital plans, identify the project title and planning period of each submission. (List the plans chronologically beginning with the most recent.) If the current project differs from the most recent submission, describe the differences and the rationale for those changes.

Previous Budget Request Submissions – If this project has been submitted by the agency in one or more previous biennial capital budget requests, identify the project title and biennium of each submission. (List the requests chronologically beginning with the most recent.) If the current project differs from the most recent previous budget request submission, describe the differences and the rationale for those changes.

Previous Budget Authorizations – If this project has been authorized for the agency to undertake in one or more previous biennial state budgets, identify the project title and biennium of each authorization. (List the authorizations chronologically beginning with the most recent.) If the project was not undertaken in the most recent authorization, explain why. If the current project differs from the most recent authorization, describe the differences and the rationale for those changes.

Information Technology

The following specific information is to be provided for information technology systems.

Project Budget – Identify the estimated cost of the project by fund source and by cost element. The ***fund sources*** are general fund (cash or bonds), restricted funds, federal funds, road fund, agency bonds, other (private funds-cash), or other (long-term financing). The ***cost elements*** are hardware, software, professional services, digital data products, and other (must be specified).

An accompanying narrative is to ***describe how the project budget was determined*** (e.g., in-house estimates, outside consultant, feasibility study).

If amounts are reported in the “other (long-term financing)” fund source category, describe that financing proposal. This category is not to reflect the proposed use of state bonds (general fund debt service) or agency bonds, which are to be reported separately above. It does include the issuance of other financial instruments that require payment of principal and interest over time, including, but not limited to, notes, bonds, securities, and certificates of participation, regardless of the identity of the issuer.

Impact on Agency Operating Budget – If the project will have an impact on the agency’s operating budget after it is completed and operational, report that impact. More detailed information will be expected for those projects proposed for 2006-08, than those proposed for 2008-10 or 2010-12.

The impact figures are to ***reflect both programmatic costs and system operating and maintenance costs***. The impact on the operating budget may be 1) increased costs, 2) savings, or 3) a combination of increased costs and savings. It may or may not be quantifiable.

If the impact can be quantified, report the amounts for the first full year of operations by fund source - general fund, restricted funds, federal funds, road fund, other (must be specified). If the net impact is savings, enter those figures as negative numbers (-). Otherwise, the figures will be assumed to represent net increased costs to the agency.

Figures are to be explained in the accompanying narrative by addressing, at a minimum, the following:

- The items involved (e.g., personnel, operating) and related amounts;
- A separate identification of the costs and savings;
- A separate identification of one-time, non-recurring items and amounts; and
- The lease number and annual cost savings if the project will result in the reduction or cancellation of space leased by the state from a private vendor.

If the impact ***cannot be quantified***, describe the nature of the impact (e.g., operating efficiencies) in a detailed narrative.

If the project will ***generate revenues for the agency*** (restricted funds), describe that capability in the narrative and include an estimate of the revenues that would be generated on an annual basis. Report these amounts in the narrative only, not in the chart by fund source.

Method of Procurement – Identify the method of procurement as one of the following: purchase, lease, lease-purchase, or other (must be specified).

Primary Program Purpose – ***Postsecondary institutions only*** must report the primary program purpose to be served the by the system as one of the following: instruction, public service (hospital), public service (other), research, support (academic/institutional), combination (specify), or other (specify).

Completion Date – Identify the anticipated date of full installation/implementation and utilization of the system.

Existing System – If an existing system will be replaced/enhanced/expanded, describe the current system and how it will be affected. If this is a replacement, an explanation of what will be done with the existing system is also to be provided.

Phased Projects – If the project is proposed to be undertaken in phases over multiple biennia, or has already been authorized as a phased project, the project titles and biennia of additional phases that are proposed in this plan and/or that have already been authorized are to be identified. If project phases beyond 2010-12 are proposed, that is also to be noted and explained.

Additional Description/Justification – Use this space to elaborate on the Brief Description/Justification provided above, as appropriate. More detailed information will be expected for those projects being proposed for 2006-08 than for those being proposed for 2008-10 or 2010-12.

Previous Capital Plan Submissions – If this project has been submitted by the agency in one or more previous six-year capital plans, identify the project title and planning period of each submission. (List the plans chronologically beginning with the most recent.) If the current project differs from the most recent submission, describe the differences and the rationale for those changes.

Previous Budget Request Submissions – If this project has been submitted by the agency in one or more previous biennial capital budget requests, identify the project title and biennium of each submission. (List the requests chronologically beginning with the most recent.) If the current project differs from the most recent previous budget request submission, describe the differences and the rationale for those changes.

Previous Budget Authorizations – If this project has been authorized for the agency to undertake in one or more previous biennial state budgets, identify the project title and biennium of each authorization. (List the authorizations chronologically beginning with the most recent.) If the project was not undertaken in the most recent authorization, explain why. If the current project differs from the most recent authorization, describe the differences and the rationale for those changes.

Grant/Loan Programs

The following specific information is to be provided for grant/loan programs.

Project Budget – The project budget is to reflect the proposed funding for the program in the biennium specified by fund source and cost element. The ***fund sources*** are general fund (cash or bonds), restricted funds, federal funds, road fund, agency bonds, other (private funds-cash), or other (long-term financing). The ***cost elements*** are administration, grants, loans, other (must be specified).

An accompanying narrative is to ***describe how the budget was determined*** (e.g., in-house estimates, outside consultant, feasibility study).

Impact on Agency Operating Budget – If the proposed funding for the program will have an impact on the agency's operating budget after it is implemented, report that impact. The impact may be 1) increased costs, 2) savings, or 3) a combination of increased costs and savings. The impact may or may not be quantifiable.

If the impact can be quantified, report the amounts for the first full year of operations by fund source - general fund, restricted funds, federal funds, road fund, other (must be specified). If the net impact is savings, enter those figures as negative numbers (-). Otherwise, the figures will be assumed to represent net increased costs to the agency.

Figures are to be explained in the accompanying narrative by addressing, at a minimum, the following:

- The items involved (e.g., personnel, operating) and related amounts;
- A separate identification of the costs and savings;
- A separate identification of one-time, non-recurring items and amounts; and
- The lease number and annual cost savings if the project will result in the reduction or cancellation of space leased by the state from a private vendor.

If the impact ***cannot be quantified***, describe the nature of the impact (e.g., operating efficiencies) in a detailed narrative.

If the program will ***generate revenues for the agency*** (restricted funds), describe that capability in the narrative and include an estimate of the revenues that would be generated on an annual basis. Report these amounts in the narrative only, not in the chart by fund source.

<u>New or Existing Program</u> – Identify the program as new or existing.

If it is ***new***, describe the proposed program including the eligibility criteria and the award process. Also address the status of any proposed enabling legislation and any previous efforts to authorize/implement the program.

If this is an ***existing*** program, identify the statutory basis for the program, how long the program has been in place, its purpose, and how the program operates. Specifically describe the eligibility criteria and the process used to make awards. Also, describe how the program is administered and how those costs are financed.

<u>Matching Funds</u> – If a proposed general fund amount would be used to match funds from other sources, identify the source of the other funds (specific program) and the matching requirements.

<u>Other Programs Addressing this Need</u> – If any other state or federal programs address the same need as this project, identify the programs and the level of support anticipated to be available from them in the biennium for which this funding is proposed.

<u>Funding Allocations Already Identified</u> – If any specific projects have already been identified for allocations from the proposed funding, identify and describe those projects and the funding allocation that is proposed for each.

<u>Additional Description/Justification</u> – Use this space to elaborate on the Brief Description/Justification provided above. More detailed information will be expected for those projects being proposed for 2006-08 than for those being proposed for 2008-10 or 2010-12. The following items are to be addressed as appropriate.

- The historical and projected use of the program, including relevant data.
- Any major policy changes that have been made in the program since the last capital plan submission.
- Any major changes that are being proposed for the program.

- Any program evaluations or studies that have been completed concerning this program since the last capital plan submission. (A copy of the executive summary is to be forwarded to the CPAB office.)

SPACE NEEDS

FORM SYP-P3 is to address needs of the agency for additional or replacement space in the remainder of the current biennium or in the upcoming three biennia – other than those needs addressed by projects submitted on Form SYP-P2. The following information is to be provided:

Location – Identify where the space is needed, by county (if known) or by area of the state (Area Development District).

Need – Identify the type of need as one of the following

- New — The agency does not currently occupy space in this county / area.
- Supplemental — The agency currently occupies space in this county / area, but needs additional space. That additional space may involve expansion at the current site, replacement of the current site with additional space at another site, or continued use of the current site with additional space also at another site.
- Replacement — The agency currently occupies space in this county/area, but wishes to acquire the same amount of space at a different location in order to vacate the current site.

Identify why the space is needed as one or more of the following:

- Provide new services to the county/area
- Relieve current overcrowding of existing space
- Provide for additional employees and/or functions
- Consolidate multiple offices of the agency that are located in the same county
- Consolidate multiple offices of the agency that are located in multiple counties
- Relocate from space that is in poor physical condition
- Relocate from space that is in an inappropriate location
- Relocate from space that is not appropriately configured

Type of Space – Identify the type of space as one of the following: office, storage, educational, or housing.

Square Footage – Identify the amount of space that is needed.

Biennium – Identify when the space will be needed as one of the following: 2004-06, 2006-08, 2008-10, or 2010-12. If the space is needed in the current biennium (2004-06), indicate whether Form SR-4 has been submitted to the Division of Real Properties.

Impact on Existing Space – If this proposal for space will impact any existing space owned or occupied by the agency, identify that existing space as one or more of the following:

- A state-owned facility administered by the agency (one or more building numbers corresponding to those reported on Form SYP-B4a must be identified),
- Leased by the agency from a private vendor or other non-state entity (one or more PR numbers corresponding to those reported on Form SYP-B4c must be identified),
- Occupied via an interagency agreement with another state agency (one or more agreement numbers corresponding to those reported on Form SYP-B4b or SYP-B4d must be identified), or
- Other – must be accompanied by a detailed explanation.

Additional Explanation/Description - This narrative is to address, at a minimum, the following:

- The entity, function, or program that will use the proposed new space
- If there will be an impact on existing space (above), how the space will be impacted. (Items to be addressed include whether an existing lease or agreement will be cancelled or the square footage decreased, or whether the existing space will be retained but used for a new or different function.)

SPACE REDUCTIONS

FORM SYP-P4 is to address any reductions in agency administered or agency occupied space that are anticipated in the remainder of the current biennium or in the upcoming three biennia. Such reductions may occur through the disposal/demolition of state-owned property, through the termination of a lease with replacement space not to be leased, or other comparable situation. ***Do not list leases with private vendors that will be replaced by another lease.***

The following information is to be provided.

Location – Identify the county in which the space is located.

Amount of Space – Identify the amount of space to be reduced - acres or square footage.

Type of Space – Identify the type of space to be eliminated as one of the following:

- State-owned facility administered by the agency (a building number corresponding to that reported on Form SYP-B4a must be identified),
- State-owned land administered by the agency (an installation number must be identified),
- Space leased by the agency from a private vendor or other non-state entity (a PR number corresponding to that reported on Form SYP-B4c must be identified),
- Space occupied via an interagency agreement with another state agency (an agreement number corresponding to that reported on Form SYP-B4b or Form SYP-B4d must be identified).
- Other (must be accompanied by a detailed explanation).

Rationale – Identify why the space is to be eliminated as one of the following:

- Will be replaced by state-owned construction (at this or another site) that will serve the same purpose (the project name – as already authorized or as proposed in this plan – must be identified),

- To provide a site for state-owned construction to serve a new or different purpose (the project name – as already authorized or as proposed in this plan – must be identified),
- Is no longer needed (will not be replaced),
- Is to be replaced by space from a private vendor or other non-state entity,
- Is to be replaced by other existing state-owned space to be occupied via an interagency agreement with another state agency, or
- Other (must be explained).

Biennium – Identify when the space is to be eliminated as one of the following, 2004-06, 2006-08, 2008-10, or 2010-12. If the space is to be eliminated in the current biennium (2004-06), the status of that effort is to be reported.

Additional Explanation / Description – Use this space to identify the entity, function or program currently housed in the space to be reduced and to provide any additional information that would be helpful in understanding the proposed space reduction.

ANCILLARY RECORDS

The Ancillary Records section of each agency's capital plan is to address specific items that will be applicable only to selected agencies. The records include:

- **The prioritization of projects by agencies who propose to use agency bonds as a fund source,**
- **The reporting of the use of off-budget funds for capital needs by agencies with such authority, and**
- **The identification of identical projects that are listed in the plans of more than one agency.**

Note:
The use of Form SYP-A1 has been discontinued for the 2006-2012 plans
Instead, agencies are to submit proposed miscellaneous maintenance pools
(multiple construction projects costing less than $400,000 each) on Form SYP-P2.

AGENCY BOND PRIORITIES

FORM SYP-A2 is to be submitted only by postsecondary institutions that have proposed projects for which agency bonds have been identified as a fund source. The institution is to list such projects in ***priority order in each biennium***.

OFF-BUDGET FUNDS

FORM SYP-A3 is to be completed only by those agencies that have facility-generated revenues or other off-budget revenues that - as specified in statute - may be used to address capital needs. Those agencies are the Kentucky Center for the Arts, the Northern Kentucky Convention Center, the Appalachian/Kentucky Artisans Gateway Center, and the Eastern Kentucky Exposition Center.

The following information is to be provided:

Source(s) of Revenue – Describe the source(s) from which the agency derives revenues that are not reflected in the budget process.

2002-04 Receipts – Identify the total 2002-04 receipts from facility-generated or other off-budget revenues.

Expenditures from 2002-04 Receipts for Capital-Related Items – Identify specific uses and the amounts expended for capital-related needs from the 2002-04 receipts. These uses may include deposits to reserves for future capital needs.

PROJECTS APPEARING IN PLANS OF MULTIPLE AGENCIES

FORM SYP-A4 is to identify each project that is being proposed by multiple agencies and that is submitted in the plans of all of those agencies as an identical project. The project title and biennium in which the project is proposed is to be listed as it appears in the reporting agency's plan, followed by a listing of the other agency plans in which the project appears and the project title in each of those plans.

APPENDIX A

2006-2012 CAPITAL PLAN
CHECKLIST OF FORMS TO BE COMPLETED FOR AGENCY PLANS

Responses to the following questions will determine the forms that must be completed for your agency's 2006-2012 capital plan.

Background

Agency Mission & Programs – ***Form SYP-B1*** must be completed by each agency.

Agency Facilities Management – ***Form SYP-B2*** must be completed by each agency.

Capital-Related Reports

Does your agency have capital-related reports that meet any of the following criteria? If yes, ***Form SYP-B3*** must be completed.

- Completed since March 31,2003. Yes/No
- Currently underway. Yes/No
- Plan to be undertaken during the reminder of the 2004-06 biennium. Yes/No

Agency Physical Plant

Does your agency manage/administer any state-owned property? Yes/No
If yes, ***Form SYP-B4a*** must be completed.

Does your agency occupy state-owned facilities that are managed/administered by another state agency? If yes, ***Form SYP-B4b*** must be completed. Yes/No

Does your agency occupy space in any non-state-owned facilities? Yes/No
If yes, ***Form SYP-B4c*** must be completed.

Does your agency occupy (sublease) non-state-owned facilities that are leased by another state agency? If yes, ***Form SYP-B4d*** must be completed. Yes/No

Are any facilities that are not owned by the state located on the state-owned property administered by your agency? If yes, ***Form SYP-B4e*** must be completed. Yes/No

Is your agency responsible for any state-owned aircraft? Yes/No
If yes, ***Form SYP-B4f*** must be completed.

Status of Recently Completed/Ongoing Projects

Does your agency have any capital projects (construction, equipment, information technology, grant/loan programs) that were not completed as of March 31, 2003 (the last plan)? If yes, ***Form SYP-B5*** must be completed for each. Yes/No

Plan

Plan Overview – ***Form SYP-P1*** must be completed if the agency submits Form SYP-P2, P3, or P4.

Proposed Projects

Does your agency propose to undertake capital projects in any of the three upcoming biennia (2006-08, 2008-10, 2010-12) as follows. If yes, ***Form SYP-P2*** must be completed for each.

- Capital construction with an estimated cost of $400,000 or more. Yes/No
- Project pools consisting of multiple construction projects costing less than $400,000 each. Yes/No
- Equipment with an estimated cost of $100,000 or more. Yes/No
- Information technology system with an estimated cost of $400,000 or more. Yes/No
- State-administered grant/loan program included in the capital budget that provides financial assistance to non-state agencies or entities. Yes/No
- Court facility where the annual use allowance for the new or renovated space is $200,000 or more. Yes/No

Space Needs

Does your agency have any space needs that are not proposed to be addressed through a project reported on Form SYP-P2? (Such needs would usually be addressed by a lease.) If yes, ***Form SYP-P3*** must be completed. Yes/No

Space Reductions

Does your agency propose to eliminate any space it currently administers or occupies (e.g., through disposal / demolition of state-owned property, termination of a lease with replacement space not to be leased)? If yes, ***Form SYP-P4*** must be completed. Yes/No

Ancillary Records*

Agency Bond Priorities

Is your agency proposing any projects that are to be financed from agency bonds? If yes, ***Form SYP-A2*** must be completed. Yes/No

Off-Budget Funds

Does your agency have specific statutory authority to use facility-generated or other off-budget revenues to address capital needs or to deposit to reserves for such purposes? If yes, ***Form SYP-A3*** must be completed. Yes/No

Projects Appearing in Plans of Multiple Agencies

Is your agency proposing any projects for the planning period that are also listed in another agency's plan? If yes, ***Form SYP-A4*** must be completed. Yes/No

Note:
The use of Form SYP-A1 has been discontinued for the 2006-2012 plans
Instead, agencies are to submit proposed miscellaneous maintenance pools
(multiple construction projects costing less than $400,000 each) on Form SYP-P2.

APPENDIX B

CAPITAL PLAN SUBMISSION LEVELS

Capital plans are to be completed and submitted at the organizational levels identified below:

- Most executive branch agencies and some cabinets are to complete and submit a single capital plan to CPAB. While parts of the plan may be developed at different organizational levels, the final submission is to reflect the consolidation or compilation of data for the entire agency or cabinet as appropriate. For example, a cabinet submission will have a single Agency Mission and Programs narrative, not a separate narrative for each department and entity attached to the cabinet. Similarly, there will be a single report of all cabinet-owned space, not a separate report for each agency within the cabinet.

- In most executive branch cabinets, a separate, complete plan is to be prepared by each major department/agency. An "All Other" agency submission is identified for these cabinets to address entities attached to the cabinet - either directly or for administrative purposes - that are not required to prepare a separate, complete plan. All plans for the cabinet are to be submitted to the cabinet secretary for the assignment of cabinet priorities to the proposed projects and preparation of a cabinet-level plan overview. The cabinet will then submit all of the plans to CPAB, together with the cabinet priorities and the cabinet overview.

- Several executive branch agencies that are organizationally attached to a specific cabinet are to complete and submit plans directly to CPAB. These plans need not be routed through the cabinet to which the agency is attached for the purpose of assigning cabinet priority numbers.

- For the legislative and judicial branches, a single plan encompassing all entities within the branch is to be submitted by the Legislative Research Commission and Administrative Office of the Courts, respectively.

Contact the CPAB office if further information is needed relative to the specific entities expected to be addressed by each cabinet or agency plan.

For each of the following, a single plan is to be submitted.
(All departments, offices, divisions, and/or administratively attached entities are to be addressed.)

Legislative Branch
Judicial Branch

Office of the Governor
Secretary of State
Dept. of Law (Attorney General)
State Treasury (State Treasurer)
Auditor of Public Accounts
Dept. of Agriculture (Agriculture Commissioner)

Economic Development Cabinet
Personnel Cabinet
Transportation Cabinet

Eastern Kentucky University
KY Community & Technical College System
Kentucky State University
Morehead State University
Murray State University
Northern Kentucky University
University of Kentucky
University of Louisville
Western Kentucky University

Department of Military Affairs
Department of Veterans Affairs
Commission on Women
Governor’s Office for Local Development
Agricultural Development Board
Unified Prosecutorial System
Kentucky Retirement Systems
Judicial Form Retirement System
Personnel Board
Board of Elections
Registry of Election Finance
Executive Branch Ethics Commission
Board of Emergency Medical Services
KY Lottery Corporation
Northern Kentucky Convention Center

School Facilities Construction Commission
KY Higher Education Assistance Authority
KY Housing Corporation
KY Turnpike Authority
KY River Authority
KY Higher Education Student Loan Corporation
Department of Education
Council on Postsecondary Education
KY Teachers’ Retirement System

Board of Accountancy
Board of Auctioneers
Board of Barbering
Board of Chiropractic Examiners
Board of Dentistry
Board of Embalmers & Funeral Home Directors
Board of Examiners & Registration of Architects
Board of Examiners & Registration of Landscape Architects
Board of Hairdressers & Cosmetologists
Board of Medical Licensure
Board of Nursing
Board of Optometric Examiners
Board of Respiratory Care
Board of Pharmacy

Board of Physical Therapy
Board of Podiatry
Board of Real Estate Appraisers
Board of Registration for Professional Engineers /Land Surveyors
Real Estate Commission

For the following cabinets, plans are to be completed at the agency level but submitted to and through the cabinet to allow for the completion of a cabinet overview and assignment of cabinet priority rankings to proposed projects.
(All departments, offices, divisions, and/or administratively attached entities are to be addressed in the plan for each agency that is listed.)

COMMERCE CABINET
- Kentucky State Fair Board
- Kentucky Arts Council
- Kentucky Historical Society
- Kentucky Center for the Arts
- Department of Fish and Wildlife Resources
- Kentucky Horse Park
- Department of Parks
- Kentucky Artisans Center at Berea
- Department of Tourism
- Kentucky Heritage Council
- All Other* **-** This submission is to include, at a minimum, the following:
  Office of the Secretary
  Office of Finance and Administration
  Office of Legal Affairs
  Office of Intergovernmental Affairs
  Office of Human Resources
  Office of Public Affairs and Constituent Services
  Office of Information Technology
  Office of Purchase and Procurement
  Office of Creative Services
  Office of Capital Plaza Operations
  Coal Marketing and Export
  Commission on Small Business Advocacy
  Kentucky Coal Council
  Kentucky Foundation for the Arts
  Kentucky Humanities Council

EDUCATION CABINET
- Department for Workforce Investment
- Department for Libraries and Archives
- Kentucky Educational Television
- Commission on the Deaf & Hard of Hearing
- Education Professional Standards Board
- All Other* **-** This submission is to include, at a minimum, the following:
  Office of the Secretary
  Office of Legal Services

Office of Communication
Office of Legislative and Intergovernmental Affairs
Office of Budget and Administration
Governor’s Scholars Program
Board of Directors for the Center for School Safety
Kentucky Environmental Education Council
Martin Luther King Commission

ENVIRONMENTAL AND PUBLIC PROTECTION CABINET

- Department for Environmental Protection
- Department for Natural Resources
- Department for Public Protection
- Department of Labor
- All Other* - This submission is to include, at a minimum, the following:
  Office of the Secretary
  Office of Legislative and Intergovernmental Affairs
  Office of Communications and Public Outreach
  Office of Regulatory Affairs
  Office of Legal Services
  Office of Administrative and Information Services
  Office of Administrative Hearings
  Office of Inspector General
  Mine Safety Review Commission
  Workers Compensation Board
  Kentucky State Nature Preserves Commission
  Kentucky Environmental Quality Commission

FINANCE AND ADMINISTRATION CABINET

- Office of Administrative Services
- Commonwealth Office of Technology
- Department for Facilities and Support Services
- Department of Revenue
- All Other* - This submission is to include, at a minimum, the following:
  Office of the Secretary
  Office of the Controller
  Office of General Counsel
  Office of Public Information

HEALTH AND FAMILY SERVICES CABINET

- Undersecretary for Health
- Undersecretary for Human Services
- Undersecretary for Children and Family Services
- All Other* - This submission is to include, at a minimum, the following:
  Office of the Secretary
  Office of Legal Services
  Office of Legislative and Public Affairs
  Office of Inspector General
  Administrative and Fiscal Affairs

JUSTICE AND PUBLIC SAFETY CABINET

- Department of Kentucky State Police
- Department of Kentucky Vehicle Enforcement
- Department of Criminal Justice Training
- Department of Juvenile Justice
- Department of Corrections
- Department for Public Advocacy
- All Other* **-** This submission is to include, at a minimum, the following:
  - Office of the Secretary
  - Office of Legislative and Intergovernmental Services
  - Office of Management and Administrative Services
  - Office of Legal Services
  - Office of the State Medical Examiner
  - Office of Drug Control Policy
  - Office of Public Safety Training
  - Office of Investigations
  - Parole Board

*The "All Other" submission is to include all entities attached to the Cabinet – either directly or for administrative purposes – that are not required to submit a separate, complete plan.